



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/871,602	05/31/2001	Kam Leong	55771 (71699)

Dike, Bronstein, Roberts & Cushman
Intellectual Property Practice Group
EDWARDS & ANGELL, LLP
P. O. Box 9169
Boston, MA 02209

RECEIVED

SEP 28 2001

EDWARDS & ANGELL LLP
DIKE BRONSTEIN
ROBERTS CUSHMAN

CONFIRMATION NO. 8591

FORMALITIES LETTER



OC00000006796588

Date Mailed: 09/26/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$1238.
 - \$918 for 51 total claims over 20.
 - \$320 for 4 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 2078.

11/26/2001 CCHAU1 00000027 09871602

01 FC:201	370.00 OP
02 FC:203	459.00 OP
03 FC:202	168.00 OP
04 FC:205	65.00 OP

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

File Missing Parts
Edwards & Angell LLP
Dike, Bronstein, Roberts & Cushman
101 Federal St. Boston, MA 02110
Date Rec'd 9/28/01
Docketed For Nov 26 - Apr 26, 2002
By LRD
Approved _____

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.
55771 (71699)

In Re Application Of: Kam Leong et al.

NOV 21 2001

Serial No.
09/871,602

Filing Date
May 31, 2001

Examiner
N/A

Group Art Unit
N/A

Invention: **Biodegradable Polyphosphoester Micelles For Controlled Release Of Bioactive Substances**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on
09/26/2001
Date

Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ _____ verified small entity declaration(s)
 - ☐ is/are attached.
 - ☐ was/were filed on _____
- ☐ A separate request for refund.

☒ Other (list):

Assignment (executed);
Recordation Form PTO 1595;
Check for \$40.00 Recordation Fee

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533)(Small Entity)**

Docket No.
55771 (71699)

In Re Application Of: Kam Leong et al.

Serial No.
09/871,602

Filing Date
May 31, 2001

Examiner
N/A

Group Art Unit
N/A

Invention: **Biodegradable Polyphosphoester Micelles For Controlled Release Of Bioactive Substances**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

☒ Completion of application fees as calculated below:

☒ Utility application filing fee \$370.00

☐ Design application filing fee _____

☒ Total number of independent claims = 7 \$168.00

☒ Total number of claims = 71 \$459.00

☐ Multiple dependent claims _____

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath \$65.00

☐ Petition and fee for filing by other than all the inventors or a person not the inventor _____

☐ Fee for processing an application filed with a non-English language specification _____

☐ Fee for processing and retention of application _____

Total completion of application fees \$1,062.00

This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month ☐ Two months ☐ Three months ☐ Four months ☐ Five months

from: _____ until: _____
Date Date

Total time extension fees _____

Total fees due \$1,062.00

**Response To Notice To File Missing Parts Of Application
Filing Date Granted (PTO-1533) (Small Entity)**

Docket No.
55771 (71699)

In Re Application Of: Kam Leong et al.

NOV 21 2001

Serial No.
09/871,602

Filing Date
May 31, 2001

Examiner
N/A

Group Art Unit
N/A


Invention: Biodegradable Polyphosphoester Micelles For Controlled Release Of Bioactive Substances

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Attention: Manager, Application Branch

The fee of \$1,102.00 is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 04-1105
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 04-1105
A duplicate copy of this sheet is enclosed.


Signature

Dated:

John B. Alexander, Ph.D. (Reg. No. 48,399)
Dike, Bronstein, Roberts & Cushman
Intellectual Property Practice Group of
EDWARDS & ANGELL, LLP.
P.O. BOX 9169
Boston, Massachusetts 02209
Telephone: 617-439-4444
Facsimile: 617-439-4170

I certify that this document and fee is being deposited on _____ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature of Person Mailing Correspondence

Typed or Printed Name of Person Mailing Correspondence

CC:

11-23-01

Section 43

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)		Docket No.
Applicant(s): Kam Leong et al.		55771 (71699)

Serial No. 09/871,602	Filing Date NOV 21 2001 2005/31/2001	Examiner N/A	Group Art Unit N/A
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Invention: Biodegradable Polyphosphoester Micelles For Controlled Release Of Bioactive Substances

I hereby certify that the following correspondence:

Response to Notice to File Missing Parts; Copy Part 2; Declaration/POA (executed); Assignment (executed); Recordation Form PTO 1595; Check for \$1,102.00 for filing fees; certificate of Express Mail; EL 932647612US, and stamped mailroom postcard.

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

November 21, 2001

(Date)

JUDITH A. HERRICK

(Typed or Printed Name of Person Mailing Correspondence)

Judith A. Herrick

(Signature of Person Mailing Correspondence)

EL 932647612 US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.